

FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>	ATTY. DOCKET NO. 1033.0180002	APPLICATION NO. To be assigned
	APPLICANT Ian K. Shepherd	
	FILING DATE Herewith	GROUP To be assigned

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA1	3,573,747	04/1971	Adams et al.	340	172.5	
	AB1	4,346,442	08/1982	Musmanno	364	408	
	AC1	4,376,978	03/1983	Musmanno	364	408	
	AD1	4,674,044	06/1987	Kalmus	364	408	
	AE1	4,722,055	01/1988	Roberts	364	408	
	AF1	4,739,478	04/1988	Roberts et al.	364	408	
	AG1	4,751,640	06/1988	Lucas et al.	364	408	
	AH1	4,766,539	08/1988	Fox	364	401	
	AI1	4,823,264	04/1989	Deming	364	408	
	AJ1	4,831,526	05/1989	Luchs et al.	364	401	
	AK1	4,839,804	06/1989	Roberts et al.	364	408	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL1	0 512 702 A2	11/11/1992	EP	G06F	15/21	Yes No
	AM1	WO 93/15467	08/05/1993	WIPO	G06F	15/24	Yes No
	AN1	WO 94/20912	09/15/1994	WIPO	G06F	15/30	Yes No
	AO1	0 407 026 A2	01/09/1991	EP	G06F	15/24	Yes No
	AP1	1 489 573	10/19/1977	GB	G06F	15/20	Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	1	"Heavy Losses Have Been Chalked Up by City Punters Betting on the Financial Markets," <i>Evening Standard</i> , October 22, 1987, p. 39.
AS	1	"A Number of City Brokers and Dealers are Facing Financial Ruin as a Result of Losses They Have Incurred by Gambling on Future Movements in Stock Market Indices," <i>Evening Standard</i> , October 30, 1987, p. 59.
AT	1	"Christopher Hales, the Managing Director of City Index, the Organisation that Allows Punters to Bet on the FTSE Index, Has Not Yet Been Offered a Porsche . . ." <i>Evening Standard</i> , November 2, 1987, p. 50.

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		AA2 4,903,201	02/1990	Wagner	364	408	
		AB2 4,933,842	06/1990	Durbin et al.	364	408	
		AC2 4,953,085	08/1990	Atkins	364	408	
		AD2 4,975,840	12/1990	DeTore et al.	364	401	
		AE2 4,980,826	12/1990	Wagner	364	408	
		AF2 5,077,665	12/1991	Silverman et al.	364	408	
		AG2 5,101,353	03/1992	Lupien et al.	364	408	
		AH2 5,126,936	01/1992	Champion et al.	364	408	
		AI2 5,136,501	08/1992	Silverman et al.	364	408	
		AJ2 5,970,479	10/1999	Shepherd	705	37	
		AK2 6,134,536	10/2000	Shepherd	705	37	
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
		AL2 0 434 224 A2	06/26/1991	EP	G06F	15/21	Yes No
		AM2 WO 91/14231	09/19/1991	WIPO	G06F	15/21	Yes No
		AN2 2 180 380 A	03/25/1987	GB	G06F	15/21	Yes No
		AO2 WO 90/11571	10/04/1990	WIPO	G06F	15/21	Yes No
		AP2 WO 96/18160	06/13/1996	WIPO	G06F	17/60	Yes No
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
	AR	2	"The Game of Professional Investment is Intolerably Boring and Over-Extracting to Anyone Who is Entirely Exempt from the Gambling Instinct, While He Who Has it Must Pay to this Propensity the Appropriate Toll," <i>Planned Savings</i> , December 1987, pp. 50-51.				
	AS	2	"UK: Law Prohibiting Stock Market Betting Agencies from Suing Clients Overturned in Recent Legislation," <i>The Times</i> , July 24, 1990.				
	AT	2	"UK: Court Rules Gamblers Owing Money on Bets on Stock Market Have to Pay Up," <i>Mail on Sunday</i> , July 29, 1990, p. 61.				
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	AA3	6,157,918	12/2000	Shepherd	705	37	
	AB3						
	AC3						
	AD3						
	AE3						
	AF3						
	AG3						
	AH3						
	AI3						
	AJ3						
	AK3						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL3	0 448 800 A1	10/02/1991	EP	G06P	15/21	Yes No
	AM3	WO 94/28496	12/08/1994	WIPO	G06P	15/21, 15/30	Yes No
	AN3						Yes No
	AO3						Yes No
	AP3						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>1</u>	"UK: Independent Law Report - Stock Market Movement Bet Claimed," <i>Independent</i> August 3, 1990, p. 13.
AS	<u>1</u>	"UK: City Index Successfully Sues Spencer Leslie for £35,000," <i>Euroweek</i> August 3, 1990, p. 23.
AT	<u>1</u>	"UK: Times Law Report - Differences Contract is Enforceable," <i>The Times</i> , October 3, 1990.

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		AA4					
		AB4					
		AC4					
		AD4					
		AE4					
		AF4					
		AG4					
		AH4					
		AI4					
		AJ4					
		AK4					

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
		AL4					Yes No
		AM4					Yes No
		AN4					Yes No
		AO4					Yes No
		AP4					Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	4	"UK: Current Law - City Index Ltd. v. Leslie; Gaming Contracts are Unenforceable Unlike Business Contracts," <i>Chartered Surveyor Law Report</i> , October 18, 1990, p. 132.
AS	4	"UK: Court of Appeal Rejects Market Gambler Case," <i>Financial Times</i> , The Financial Time Limited, March 15, 1991, p. 7.
AT	4	"UK: Personal Finance (Savings Snips) - City Saver - City Index Link," <i>Observer</i> , March 7, 1993, p. 35.

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
		AA5					
		AB5					
		AC5					
		AD5					
		AE5					
		AF5					
		AG5					
		AH5					
		AI5					
		AJ5					
		AK5					

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
		AL5					Yes No
		AM5					Yes No
		AN5					Yes No
		AO5					Yes No
		AP5					Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	5	"UK: Spread Your Bets for Doggy Deregulation," <i>Evening Standard</i> , April 7, 1995.
	AS	5	"UK: How to Make a Winning Spread Bet This Summer - The New Gambling - Cover Story," <i>The Times</i> , April 8, 1995.
	AT	5	"UK: Family Finance - Do You Fancy a Financial Flutter?" <i>Sunday Telegraph</i> , The Sunday Telegraph Limited, London, April 9, 1995, p. 9.

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
		AA6					
		AB6					
		AC6					
		AD6					
		AE6					
		AF6					
		AG6					
		AH6					
		AI6					
		AJ6					
		AK6					

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
		AL6					Yes No
		AM6					Yes No
		AN6					Yes No
		AO6					Yes No
		AP6					Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>6</u>	Nigel Cope, "UK: Where Bookie Meets Broker," <i>Management Today</i> , May 1995, p. 76.	
AS	<u>6</u>	Jonathan Davis, "UK: Your Money - Spread Betting - Risk and Reward in Selling the Ivory Coast Short," <i>Independent</i> , May 27, 1995, p. 21.	
AT	<u>6</u>	"UK: Register - Meal Quarterly Summary - June 1995 - City Index Ltd.," <i>Register - Meal</i> , June 14, 1995.	

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	AA7						
	AB7						
	AC7						
	AD7						
	AE7						
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	AI7						
	AJ7						
	AK7						

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
	AL7					Yes No	
	AM7					Yes No	
	AN7					Yes No	
	AO7					Yes No	
	AP7					Yes No	

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	2	"UK: Scrum on Down for New Way of Betting," Mail on Sunday, June 18, 1995.
	AS	2	Lucy Roberts, "UK: City Diary - City Index Weather Forecasts," Independent, June 23, 1995, p. 26.
	AT	2	"UK: Christmas Day Snow Index Launched," Evening Standard, December 8, 1995.

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
		AA8					
		AB8					
		AC8					
		AD8					
		AE8					
		AF8					
		AG8					
		AH8					
		AI8					
		AJ8					
		AK8					
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
		AL8					Yes No
		AM8					Yes No
		AN8					Yes No
		AO8					Yes No
		AP8					Yes No
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
	AR	§	Joe Saumarez Smith, "Australia: City - Bookie's Move to Hit Betting Duty," <i>Sunday Telegraph</i> , The Sunday Telegraph Limited, London, December 24, 1995, p. 2.				
	AS	§	"UK: City Diary - Spreading the Word," <i>Daily Telegraph</i> , The Telegraph plc, London, March 21, 1996, p. 21.				
	AT	§	"UK: City Diary - Index Link a Fairly Safe Bet," <i>Daily Telegraph</i> , The Telegraph plc, London, July 16, 1996, p. 25.				
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		AA9					
		AB9					
		AC9					
		AD9					
		AE9					
		AF9					
		AG9					
		AH9					
		AI9					
		AJ9					
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
		AL9					Yes No
		AM9					Yes No
		AN9					Yes No
		AO9					Yes No
		AP9					Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
		2	"UK: IG Index Comments on Rivals Merger Plans," <i>Evening Standard</i> , July 17, 1996.				
		9	"UK: City Index - Partners," <i>Financial Times</i> , Financial Times Limited, October 14, 1996, p. 14.				
		2	"UK: Reuters Launches Two UK Stock Indices," <i>Reuters Limited</i> , November 8, 1996.				

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		AA10					
		AB10					
		AC10					
		AD10					
		AE10					
		AF10					
		AG10					
		AH10					
		AI10					
		AJ10					
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		AL10					Yes No
		AM10					Yes No
		AN10					Yes No
		AO10					Yes No
		AP10					Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>10</u>	Paul Stokes, "UK: New Index Sparks a Worldwide Market for Scotland," <i>Scotsman</i> , November 9, 1996, p. 21.
AS	<u>10</u>	"UK: City Diary - Bookmaker Chief Appointed," <i>Daily Telegraph</i> , Telegraph Group Limited, London, March 24, 1997, p. 26.
AT	<u>10</u>	"UK: Family Finance - Bond Pep From Age Concern - Savings Scene," <i>Sunday Telegraph</i> , Telegraph Group Limited, London, September 14, 1997, p. 10.

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		AA11					
		AB11					
		AC11					
		AD11					
		AE11					
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		AG11					
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		AL11					Yes No
		AM11					Yes No
		AN11					Yes No
		AO11					Yes No
		AP11					Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>11</u>	Raymond Snoddy, "UK: Mirror to Launch Online Betting Service with PA - The Mirror Group - PA News," <i>The Times</i> , Times Newspaper Ltd, September 19, 1997, p. 25.
AS	<u>11</u>	"The DTB - West Germany's New Options and Futures Exchange. (2 of 2)," <i>Business Briefing</i> published in <i>Institutional Investor</i> , August 31, 1989.
AT	<u>11</u>	Richard Murphy, "Soffex Well-Established After First Six Months," <i>Business Briefing</i> published by <i>Reuters News Service</i> , Zurich, November 16, 1988.

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	AA						
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>12</u>	"A New Futures and Options Exchange to Come into Effect in 1990. (2 of 3)," <i>Business Briefing</i> published in <i>Euromoney Supplements</i> , November 17, 1989.
AS	<u>12</u>	"A New Futures and Options Exchange to Come into Effect in 1990. (3 of 3)," <i>Business Briefing</i> published in <i>Euromoney Supplements</i> , November 17, 1989, p. 14.
AT	<u>12</u>	"The Success of Soffex - The World's First Fully Automated Exchange," <i>Business Briefing</i> , November 17, 1989.

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		AA					
		AB					
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		AK					

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		AL					Yes No
		AM					Yes No
		AN					Yes No
		AO					Yes No
		AP					Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	13	Curtis M. Elliott and Emmett J. Vaughan: "Fundamentals of Risk and Insurance," John Wiley & Sons, Inc., 1972.
AS	13	William A. Spurr and Charles P. Bonini: "Statistical Analysis for Business Decisions," Richard D. Irwin, Inc., 1974.
AT	13	John W. Labuszewski and John E. Nyhoff: "Trading Options on Futures - Markets, Methods, Strategies and Tactics," John Wiley & Sons, Inc., 1988.

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	AA						
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	14	Edgar E. Peters: "Chaos and Order in the Capital Markets - A New View of Cycles, Prices, and Market Volatility," John Wiley & Sons, Inc., 1991.
AS	14	David Mayers and Clifford Smith: "The Corporate Insurance Decision" - journal article reprinted in "The Revolution in Corporate Finance" edited by Joel M. Stern & Donald H. Chew, Jr., Blackwell Finance, 1992.
AT	14	Charles Smithson and Clifford Smith: "Managing Financial Risk" - journal article reprinted in "The Revolution in Corporate Finance" edited by Joel M. Stern & Donald H. Chew, Jr., Blackwell Finance, 1992.

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	AA						
	AB						
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>15</u>	Donald R. Lessard: "Finance and Global Competition: Exploiting Financial Scope and Coping with Volatile Exchange Rates" - journal article reprinted in "The Revolution in Corporate Finance" edited by Joel M. Stern & Donald H. Chew, Jr., Blackwell Finance, 1992.
	AS	<u>15</u>	Alan C. Shapiro and Sheridan Titman: "An Integrated Approach to Corporate Risk Management" - journal article reprinted in "The Revolution in Corporate Finance" edited by Joel M. Stern & Donald H. Chew, Jr., Blackwell Finance, 1992.
	AT	<u>15</u>	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.